

Districts 1, 2, and 3 PSR/PSSR and PR Process

Guidelines for Pre-Programmed Projects

This document outlines the process for developing Project Study Reports (PSRs), Project Scope Summary Reports (PSSRs), and Project Reports (PR's) **for pre-programmed projects** as agreed to by District's 1, 2 and 3. These reports are herein referred to as Project Initiation Documents (PIDs). "District" refers to the district in which the proposed project is located. This process document is intended to provide basic guidelines for consistency regionwide while allowing for individual district needs where there are unique circumstances.

PID Development Process (Milestones)

0%	Kickoff
30%	Presentation to District Management
60%	Preliminary Draft Circulation and Review
90%	Draft Circulation to Management
95%	Circulation for Signature
100%	Complete

Prior to the first kickoff meeting, the following shall be completed:

- Project EA is established and activated by the District STIP/SHOPP Coordinator (DSSC).
- The District Program Advisor will provide a project information sheet to the DSSC and the PM for each project.

0% (Kick-off)

Work begins on a PID with a kickoff meeting. The Project Manager will conduct the kickoff meeting with consultation from the District STIP/SHOPP Coordinator. At the kickoff meeting, the program advisor is expected to present the project preliminary scope and expectations. The kickoff meeting is made up of District staff and internal Caltrans function representatives relevant to the project and regional/local agency staff where projects might have regional or local interest.

The agenda and attendance at the kick-off meeting will depend largely on the technical and political complexities of respective projects. At a minimum, the PM, District STIP/SHOPP Coordinator, Design Senior (if assigned to a design unit), PE, Program Advisor, Right-of-Way, Environmental and Advance Planning will be represented.

Other project team members are determined at the kick-off meeting and invited to subsequent meetings as appropriate.

Things to be accomplished between 0% and 30% complete:

- PE field review with maintenance, operations, environmental or other appropriate functional personnel
- PE acquires and analyzes project data (as-builts, r/w maps, aerials, etc...)
- Requests to be submitted include, but are not limited to:
 1. Structures Advance Planning Study * (Allow 3-4 months)
 2. Traffic Accident Data
 3. Traffic Counts, Forecast and Traffic Index Information
 4. Deflection Study/ Materials Recommendation
 5. Environmental PEAR or Approval
 6. R/W data sheet
 7. Utility Verification Survey
 8. Preliminary District hydraulics comments (flooding history, culvert conditions etc.)
 9. Initial Site Assessment
 10. Permit Search Request
 11. Make first contact with HQ Geometrician

* The advance planning study (APS) should be preceded by a Preliminary review of potential alternatives on more difficult projects. The project manager and project engineer should consult district management in an effort to reduce the number of APSs required. On the more difficult projects, submittal of the APSs may take place after the 30% complete deadline.

30% COMPLETE (Presentation to District Management)

At 30% complete stage, the Project Manager shall present the project scope to District Management for concurrence. The following shall be part of the briefing:

- Purpose and Need
- Proposed scope
- Preliminary cost estimate
- Identify mandatory and advisory design exceptions

- Draft schematics, aerial photos, field photos, or other graphic representation should be used to convey essential project information.
- All known issues

Things to be accomplished between 30% and 60% complete:

- Have the District STIP/SHOPP Coordinator prepare:
 1. Cover Sheet For Report *
 2. District Signature Sheet *
 3. Preliminary Draft Distribution List

*Must be included in circulated reports
- Public information workshop may be appropriate for some large or controversial projects
- Updated Cost Estimate
- Preliminary Geometrics, if needed
- Preliminary Draft Report
- Requests to be submitted include, but not limited to:
 1. Safety Review (Design and Traffic)

60% COMPLETE (Preliminary Draft Circulation and Review)

At 60% complete stage, the project should be fully scoped and at the “pre-draft” stage, which includes a clearly defined purpose and need and a preliminary estimates. The report will include all submittals received and target dates for submittals not received. The “pre-draft” PID shall then be circulated for review and concurrence using the draft distribution list received from the STIP/SHOPP Coordinator.

At this stage the project workplan shall have been initiated by the PM. The draft workplan shall be attached when circulated for review. Functional Managers should use the Pre-Draft report to provide bottoms-up project resource needs.

Things to be accomplished between 60% and 90% complete:

- Resolve, include, and respond to all Preliminary Draft Comments.
- Submit for Constructability Review with North Region Constructability Reviewer.
- Submit for Design Review with the North Region Design Reviewer.

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- Field Review with Program Advisor and all involved functional units. Field review Attendance Roster is to be signed by all attendees and included in report during draft review and in final report.
 - Consult Headquarters Design and Local Programs Reviewer on fact sheets.
 - Refine Scope
 - District STIP/SHOPP Coordinator prepares 90% draft distribution list.
 - Project Manager to finalize the Proposed Funding/Scheduling tables and incorporate into the report. (Sample standard table attached)

90% Complete (Draft Circulation To Management)

At 90% complete, the report is ready for draft circulation to management, internal functional units, appropriate advisors and reviewers, as well as appropriate external reviewers, partners and stakeholders. The report should include all necessary attachments, including District Signature Sheet, Approved Factsheets (Mandatory and/or Advisory), PEAR (or environmental document, where appropriate), Environmental Mitigation and Compliance Cost Estimate, Right of Way Data Sheet, Initial Site Assessment (ISA), Advance Planning Study (APS) if necessary, Preliminary Project Cost Estimate Summary.

Expectations at this stage are that the circulated document is free of technical and grammatical errors.

Things to be accomplished between 90% and 95% complete:

- Resolve, incorporate, and respond to all Preliminary Draft Comments.
- Prepare report for final signatures
- Project Manager to develop and provide Performance Measures to PE for inclusion in the report.

95% Complete (Circulation for Signature)

At the 95% stage the final document is complete and is circulated for final signature.

Things to be accomplished between 95% and 100% complete:

- The Project Engineer will include and respond to the final comments from management and other signatories.

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- The PE and supervisor will be responsible for collection of all signatures for the report.

100% Complete

The PE will submit one original signed scoping document to the District STIP/SHOPP Coordinator for final distribution based on the Districts timelines, revised allocations and priorities.

Attachments

Attachment 1 is an example of the required approval signature page for District 1 Projects.

Attachment 2 is an example of the required approval signature page for District 2 Projects.

Attachment 3 is an example of the required approval signature page for District 3 Projects.

Attachment 4 is the required signatures for pre-programmed scoping documents and fact sheets.

Attachment 5 is a sample programming information sheet developed by PPM staff.

Attachment 6 is a graphic of a typical PID development process.

SUBMITTED BY

PSSR SUBMITTED BY	
BERT WYTHER, P.E. District STIP/SHOPP Coordinator District 1	<u>Date</u> CALNET 538-6672

REVIEWERS

PSSR REVIEWED BY	
DESIGN SENIOR, P.E. (If needed) Chief, Design Unit ____ North Region - Eureka	<u>Date</u> CALNET 538-xxxx

PSSR REVIEWED BY	
ENVIRONMENTAL SENIOR Chief, Office of Environmental Management North Region - Eureka	<u>Date</u> CALNET 538-xxxx

PSSR REVIEWED BY	
JIM HALL/DAVE MCCANLESS Chief, Right of Way North Region - Eureka	<u>Date</u> CALNET 538-6405

APPROVAL RECOMMENDATIONS

APPROVAL RECOMMENDED BY	
BERT WYTHER, P.E. Deputy Director - Project Coordination District 1	<u>Date</u> CALNET 538-6672

APPROVAL RECOMMENDED BY	
CHERYL WILLIS Deputy Director, Planning District 1	<u>Date</u> CALNET 538-6413

APPROVAL RECOMMENDED BY	
MARTIN D. VAN ZANDT, P.E. Deputy Director, Maintenance and Operations District 1	<u>Date</u> CALNET 538-6393

Attachment 1

SUBMITTED BY

PSSR SUBMITTED BY	
DONALD L. ANDERSON, P.E. District STIP/SHOPP Coordinator Chief, Office of Advance Planning District 2	<u>Date</u> CALNET 442-3133

REVIEWERS

PSSR REVIEWED BY	
DESIGN SENIOR, P.E. (If needed) Chief, Design Unit ____ North Region - Redding	<u>Date</u> CALNET 442-xxxx

PSSR REVIEWED BY	
ENVIRONMENTAL SENIOR Chief, Office of Environmental Management North Region - Redding	<u>Date</u> CALNET 538-xxxx

PSSR REVIEWED BY	
LIN PATTON Chief, Right of Way North Region - Redding	<u>Date</u> CALNET 442-3209

APPROVAL RECOMMENDATIONS

APPROVAL RECOMMENDED BY	
BRIAN CRANE, P.E. District Division Chief - Project Coordination District 2	<u>Date</u> CALNET 442-3480

APPROVAL RECOMMENDED BY	
BURTON BROCKETT, P.E. District Division Chief, Planning District 2	<u>Date</u> CALNET 442-3570

APPROVAL RECOMMENDED BY	
RUSSELL WENHAM, P.E. District Division Chief, Maintenance and Operations District 2	<u>Date</u> CALNET 442-3545

SUBMITTED BY

PSSR SUBMITTED BY	
DESIGN SENIOR. Chief, Design Branch ____ District 3	<u>Date</u> CALNET 457-xxxx

REVIEWERS

PSSR REVIEWED BY	
PROGRAM ADVISOR H_XX Program District 3	<u>Date</u> CALNET 457-xxxx

PSSR REVIEWED BY	
ENVIRONMENTAL SENIOR Chief, Office of Environmental Management ____ North Region - Marysville	<u>Date</u> CALNET 457-xxxx

PSSR REVIEWED BY	
RIGHT-OF-WAY SENIOR Marysville Project Delivery Team North Region - Marysville	<u>Date</u> CALNET 457-xxxx

APPROVAL RECOMMENDATIONS

APPROVAL RECOMMENDED BY	
MAINTENANCE/OPERATIONS MANAGER District Division Chief – Maintenance/Traffic Operations District 3	<u>Date</u> CALNET 442-3480

APPROVAL RECOMMENDED BY	
JODY LONERGAN NR Division Chief, Planning CALNET 457-4277	<u>Date</u>

APPROVAL RECOMMENDED BY	
STEVE KIRKPATRICK, P.E. NR Division Chief, Program & Project Management CALNET 457-4242	<u>Date</u>

Attachment 3

SIGNATURES

The following signatures are required for District Project Initiation Documents and Fact Sheets (design exceptions)

SHOPP

PSSR:

COVER SHEET

District Director (Tailored)
District Division Chief, Right of Way
Project Manager

PE SEAL SHEET

Project Engineer

DISTRICT SIGNATURE SHEET

District STIP/SHOPP Coordinator
Design Senior (If project is done in a design branch)
Environmental Senior
Right of Way Chief
District Division Chief, Planning
District Division Chief, Maintenance and Operations
District Division Chief, Project Coordination

PSR:

COVER SHEET

District Director (Tailored)
Project Manager

PE SEAL SHEET

Project Engineer

DISTRICT SIGNATURE SHEET

District STIP/SHOPP Coordinator
Design Senior (If project is done in a design branch)
Environmental Senior
District Division Chief, Planning
District Division Chief, Maintenance and Operations
District Division Chief, Project Coordination

Attachment 4

STIP

PSR: **COVER SHEET**
 District Director (Tailored)
 Project Manager

PE SEAL SHEET
 Project Engineer

DISTRICT SIGNATURE SHEET
 District STIP/SHOPP Coordinator
 Design Senior (If project is done in a design branch)
 Environmental Senior
 District Division Chief, Planning
 District Division Chief, Maintenance and Operations
 District Division Chief, Project Coordination

FACT SHEETS

MANDATORY: **COVER SHEET**
 District Director (Tailored) or Delegate
 Project Manager
 Branch Chief Advance Planning OR
 Design Senior (if done in Design)
 Project Engineer
 Project Development Coordinator DLPP

ADVISORY: **COVER SHEET**
 District Director (Tailored) or Delegate
 Project Manager
 Branch Chief Advance Planning OR
 Design Senior (if done in Design)
 Project Engineer

PROGRAMMING

EA:
CoRte:

PROJECT SCHEDULE

	 MILESTONE 	 DATE 	
	Begin Project Report		
	Begin Environmental Document		
	PA&ED		
	Structures PS&E		
	District PS&E		
	R/W Cert		
	RTL		
	HQ Advertise		
	Construction Complete		

Escalation Factor Used: 2.20%

SUPPORT COSTS by SB45 CATEGORIES

PROJECT COSTS		Costs are in thousands of dollars						
CAPITAL COSTS	99/00	00/01	01/02	02/03	03/04	FUTURE	TOTAL	
Right of Way							\$	-
Construction							\$	-
							\$	-
SUPPORT COSTS								
Environmental	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Design	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Right of Way	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Construction	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
GRAND TOTAL							\$	-
PID COSTS								
	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -

Number of Hours in a PY: 1,758

SUPPORT PY'S by DIVISION

PROJECT SUPPORT IN PYS							
	99/00	00/01	01/02	02/03	03/04	FUTURE	TOTAL
TRANSP PLNG	0.00	0.00	0.00	0.00	0.00	0.00	0.00
PROJ DEV	0.00	0.00	0.00	0.00	0.00	0.00	0.00
RIGHT OF WAY	0.00	0.00	0.00	0.00	0.00	0.00	0.00
CONST	0.00	0.00	0.00	0.00	0.00	0.00	0.00
ESC DESIGN	0.00	0.00	0.00	0.00	0.00	0.00	0.00
ESC CONST	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Comments:

Typical Project Work

